

04/12/01

04-16-01  
EL46578203A  
PTO/SB/05 (4/98)Approved for use through 09/30/2000. OMB 0651-0032.  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCEPlease type a plus sign (+) inside this box → 

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No. MT22-1637

First Inventor or Application Identifier Luan C. Tran

Title Semiconductor Processing Methods etc

Express Mail Label No. EL465782038US

PRO

04/12/01

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

- |  |  |
|--|--|
| <p>1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17)<br/>(Submit an original and a duplicate for fee processing)</p> <p>2. <input checked="" type="checkbox"/> Specification [Total Pages 27] Plus title pg.</p> <ul style="list-style-type: none"> <li>- Descriptive title of the Invention</li> <li>- Cross References to Related Applications</li> <li>- Statement Regarding Fed sponsored R &amp; D</li> <li>- Reference to Microfiche Appendix</li> <li>- Background of the Invention</li> <li>- Brief Summary of the Invention</li> <li>- Brief Description of the Drawings (if filed)</li> <li>- Detailed Description</li> <li>- Claim(s)</li> <li>- Abstract of the Disclosure</li> </ul> <p>3. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 2]</p> <p>4. Oath or Declaration [Total Pages 2]</p> <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> Newly executed (original or copy)</li> <li>b. <input checked="" type="checkbox"/> Copy from a prior application (37 C.F.R. § 1.63(d))<br/>(for continuation/divisional with Box 16 completed)           <ul style="list-style-type: none"> <li>i. <input type="checkbox"/> DELETION OF INVENTOR(S)<br/>Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).</li> </ul> </li> </ul> | <p>5. <input type="checkbox"/> Microfiche Computer Program (Appendix)</p> <p>6. Nucleotide and/or Amino Acid Sequence Submission<br/>(if applicable, all necessary)       <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> Computer Readable Copy</li> <li>b. <input type="checkbox"/> Paper Copy (identical to computer copy)</li> <li>c. <input type="checkbox"/> Statement verifying identity of above copies</li> </ul> </p> |
|--|--|

**ACCOMPANYING APPLICATION PARTS**

- 7.  Assignment Papers (cover sheet and document(s))
- 8.  37 C.F.R. §3.73(b) Statement  Power of Attorney (when there is an assignee)
- 9.  English Translation Document (if applicable)
- 10.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations
- 11.  Preliminary Amendment
- 12.  Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
- 13.  \* Small Entity Statement(s)  Statement filed in prior application (PTO/SB/09-12)  Status still proper and desired
- 14.  Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
- 15.  Other: Sub. Drawing Request  
Red-Line & Sub. Formal Drawings

**\* NOTE FOR ITEMS 1 & 13 IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).**

16. If a CONTINUATING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

Continuation  Divisional  Continuation-in-part (CIP) of prior application No. 09 / 388, 857

Prior application information: Examiner L. Schillinger

Group / Art Unit: 1765

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**17. CORRESPONDENCE ADDRESS**

Customer Number or Bar Code Label / 021567  
(Insert Customer No. or Attach bar code label here) or  Correspondence address below

Name Frederick M. Fliegel, Ph.D.  
Wells, St. John, Roberts, Gregory & Matkin P.S.

Address  
City  
Country

	State	Zip Code
	Telephone	Fax

Name (Print/Type)	Frederick M. Fliegel, Ph.D.	Registration No. (Attorney/Agent)	36,138
Signature			
	Date April 12, 2001		

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

EL465782038

PTO/SB/17 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$)  
1,166.00

Complete if Known

Application Number	09/388,857
Filing Date	September 1, 1999
First Named Inventor	Luan C. Tran
Examiner Name	L. Schillinger
Group Art Unit	1765
Attorney Docket No.	MI22-1637

## METHOD OF PAYMENT

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number  
23-0925

Deposit Account Name  
Wells, St. John et al.

Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17.

Applicant claims small entity status.  
See 37 CFR 1.27.

2.  Payment Enclosed:

Check  Credit card  Money Order  Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101	710	201 355 Utility filing fee	710
106	320	206 160 Design filing fee	
107	490	207 245 Plant filing fee	
108	710	208 355 Reissue filing fee	
114	150	214 75 Provisional filing fee	

SUBTOTAL (1) (\$)  
710.00

## 2. EXTRA CLAIM FEES

Total Claims	Independent Claims	Multiple Dependent	Extra Claims -20** =	Fee from below 12 x 18 =	Fee Paid 216
32	6		-3** =	5 x 80 =	240

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103	18	203 9 Claims in excess of 20
102	80	202 40 Independent claims in excess of 3
104	270	204 135 Multiple dependent claim, if not paid
109	80	209 40 ** Reissue independent claims over original patent
110	18	210 9 ** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)  
.456.00

\*or number previously paid, if greater; For Reissues, see above

## 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105	130	205 65 Surcharge - late filing fee or oath	
127	50	227 25 Surcharge - late provisional filing fee or cover sheet	
139	130	139 130 Non-English specification	
147	2,520	147 2,520 For filing a request for ex parte reexamination	
112	920*	112 920* Requesting publication of SIR prior to Examiner action	
113	1,840*	113 1,840* Requesting publication of SIR after Examiner action	
115	110	215 55 Extension for reply within first month	
116	390	216 195 Extension for reply within second month	
117	890	217 445 Extension for reply within third month	
118	1,390	218 695 Extension for reply within fourth month	
128	1,890	228 945 Extension for reply within fifth month	
119	310	219 155 Notice of Appeal	
120	310	220 155 Filing a brief in support of an appeal	
121	270	221 135 Request for oral hearing	
138	1,510	138 1,510 Petition to institute a public use proceeding	
140	110	240 55 Petition to revive - unavoidable	
141	1,240	241 620 Petition to revive - unintentional	
142	1,240	242 620 Utility issue fee (or reissue)	
143	440	243 220 Design issue fee	
144	600	244 300 Plant issue fee	
122	130	122 130 Petitions to the Commissioner	
123	50	123 50 Processing fee under 37 CFR 1.17(q)	
126	180	126 180 Submission of Information Disclosure Stmt	
581	40	581 40 Recording each patent assignment per property (times number of properties)	
146	710	246 355 Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249 355 For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279 355 Request for Continued Examination (RCE)	
169	900	169 900 Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)  
0

Complete (if applicable)

SUBMITTED BY			
Name (Print/Type)	Frederick M. Fliegel, PhD	Registration No. (Attorney/Agent)	36,138
Signature	D		
	Telephone	509-624-4276	
	Date	April 12, 2001	

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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EL45782038

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Priority Application Serial No. ..... 09/388,857  
Priority Filing Date ..... September 1, 1999  
Inventor ..... Luan C. Tran  
Assignee ..... Micron Technology, Inc.  
Priority Group Art Unit ..... 1765  
Priority Examiner ..... L. Schillinger  
Attorney's Docket No. ..... MI22-1637  
TITLE: Semiconductor Processing Methods Of Forming Transistors, Semiconductor Processing Methods Of Forming Dynamic Random Access Memory Circuitry, And Related Integrated Circuitry

Assistant Commissioner for Patents  
Washington, D. C. 20231  
Attention: Official Draftsman

**SUBSTITUTE DRAWING REQUEST**

Enclosed is a Red-line drawing of Fig. 3 along with a corrected formal drawing, and substitute formal drawings, Figs. 1-7. Please enter the enclosed substitute formal drawings in the above-referenced application in place of drawings originally filed. The content of the drawings are identical to those now on file in this application.

Acknowledgment of receipt of the formal drawings and their acceptance into the file is requested.

Respectfully submitted,

Date: April 12, 2001

By:

  
Frederick M. Fliegel, Ph.D.  
Reg. No.: 36,138  
WELLS, ST. JOHN, ROBERTS,  
GREGORY & MATKIN P.S.  
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Enclosure's: 1 Red-line Drawing, Fig. 3 & 2 Sheets of F-  
Figs. 1-7.